



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al. :

Date: March 20, 2006

Group Art Unit:

2762

IBM Corporation

Serial No.:

09/100,595

Intellectual Property Law

Filed:

June 19, 1998

Dept. 917, Bldg. 006-1

Examiner:

W. Starks

3605 Highway 52 North

Eor.

OPTIMIZING THE PERFORMANCE OF

Rochester, MN 55901

COMPUTER TASKS USING INTELLIGENT

AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES

OF DOMAIN KNOWLEDGE

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING CONSIDERATION UNDER 37 C.F.R. §1.97(d)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Applicants petition the Commissioner of Patent and Trademark that the information listed on the attached Form PTO/SB/08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement and Petition Requesting Consideration shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the 03/24/2006 WRSFAWI 00000026 090465 09100595

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130.00 DA

Serial No. 09/100,595 Docket No. RO996-052LB

- 1 -

Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

This Information Disclosure Statement and Petition Requesting Consideration is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

| | Respectfully submitted, By A W Sitter |
|---|--|
| | Steven W. Roth Attorney Reg. No. 34,712 |
| | Telephone: 1-507-253-1600 |
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| C | FRTIFICATION |

I hereby certify that each item of information contained herein was cited in a communication from the patent office in a related patent application not more than three months prior to the filing of this Statement.

March 20, 2006 Steven W. Roth

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on March 20, 2006.

March 20, 2006

Date

Serial No. 09/100,595 Docket No. RO996-052LB PTO/SB/08A STATEMENT BY THE

Sheet 1 of 2

Application Number.:

Filing Date:

09/100.595 June 19, 1998

First Named Inventor:

Joseph P. Bigus

Art Unit:

2762

Examiner Name:

W. Starks

Attorney Docket Number.:

RO996-052LB

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| Examiner Initials* | Cite No.1 | Document Number Number - Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear |
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FOREIGN PATENT DOCUMENTS

| Examiner Initials | Cite No.1 | Foreign Patent Document Country ³ - Number ⁴ - Kind Code ⁵ Code (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear | T ⁶ |
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| /WS/ | | WO 93/21586 | 10-28-1993 | | | |
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| Examiner Signature | /Wilbert L. Starks, Jr./ | Date Considered | 09/28/2007 |
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| Application 1 | Number.: |
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Art Unit:

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Examiner Name:

W. Starks RO996-052LB

Sheet 2 of 2

Attorney Docket Number .:

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| | | LEATRIOR ART TO INTERTED BITERATURE BOCCINENTS | |
|----------------------|--------------|---|----------------|
| Examiner Initials | Cite No.' | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published. | T ² |
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| Examiner digitature Date Considered | Examiner Signature | /Wilbert L. Starks, Jr./ | Date Considered | 09/28/2007 |
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IBM Corporation

Examiner:

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Technology Center 2100

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Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

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11/22/2005 NGEBREM1 00000032 090465

0910059

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Date: November 18, 2005

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November 18, 2005

(Date of Deposit)

Lisa M. Plank

Respectfully submitted,

By:

Steven W. Roth, Attorney

Attorney Reg. No.: 34,712 IBM Corporation, Dept 917

3605 Highway 52 North

Rochester, MN 55901-7829

Telephone: (507) 253-1600

CERTIFICATION

I hereby certify that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

Steven W. Roth

November 18, 2005_

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 2

| Application Numbe |
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Filing Date:

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First Named Inventor: Art Unit:

Examiner Name:

Attorney Docket Number.:

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Bigus _____ 3621

W. Starks RO996-054L

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No.1 | Document Number Number - Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear |
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| /WS/ | ļ | US - 2004/0059929 | 03-25-2004 | Rodgers, et al. | |
| /WS/ | - | US - 6.023.586 | 02-08-2000 | Gaisford et al. | RECEIVED |
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| Examiner Signature | /Wilbert L. Starks, Jr./ | Date Considered | 09/29/2007 |

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Bigus

3621 W. Starks

RO996-054L

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials | Cite No.1 | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published. | T ² |
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Intellectual Property Law

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OCT 0 5 2005 Technology Center 2100

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0/03/2005 RMEBRAHT 00000009 090465

0910059

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Date of Deposit)

MMA

Respectfully submitted,

By:

Steven W. Roth, Attorney

Attorney Reg. No.: 34,712

-EBM Corporation, Dept 917 3605 Highway 52 North

Rochester, MN 55901-7829

Telephone: (507) 253-1600

CERTIFICATION

I hereby certify that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

Steven W. Roth

September 28, 2005



INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet _1_ of _1_

Application Number.:

First Named Inventor:

09/100,595

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Respectfully submitted,

By:

Steven W. Roth, Attorney Attorney Reg. No.: 34,712

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Sheet _1_ of _1_

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U.S. PATENT DOCUMENTS

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| Examiner Signature | AACIb and I Charles In / | Date Considered | 1 00/00/0007 | 1 |
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133 2 76 2 PATENT AF 33

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DOMAIN KNOWLEDGE

Rochester, MN 55901

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING CONSIDERATION UNDER 37 C.F.R. §1.97(d)

Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

Sir:

Applicants request that the information listed on the attached Form PTOSB08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Docket No. RO996-052LB Serial No. 09/100,595 08/22/2005 FFANAIA2 00000007 090465

130.00 DA

01 FC:1464

09100595

This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Date: August 17, 2005

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

August 17, 2005

(Date of Deposit)

Debra A. Peterson

Respectfully submitted,

By:

Steven W. Roth, Attorney

Attorney Reg. No.: 34,712 IBM Corporation, Dept 917

3605 Highway 52 North Rochester, MN 55901-7829

Telephone: (507) 253-1600

CERTIFICATION

I hereby certify that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

Steven W. Roth

August 17, 2005_

INFORMATION DISCLOSURE STATEMENT BY APPEICANT

| Sheet | 1 | of. | 1 |
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Application Number.:

Filing Date:

09/100.595 June 1, 1998

First Named Inventor:

Bigus et al.

Art Unit:

2762

Examiner Name:

W. Starks

Attorney Docket Number .:

RO996-052LB

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No.' | Document Number Number - Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear | |
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| /WS/ | | US - 6.785.834 | 08-31-2004 | Chefalas et al. | | |
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| Examiner Signature | /Wilbert L. Starks, Jr./ | Date Considered | 09/29/2007 |
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STATEMENT BY APPLIC

AUG 1 9 2005

Sheet _2_ of _2_

| Application Number. |
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Filing Date:

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Art Unit:

Examiner Name:

Attorney Docket Number .:

RECEIVED 09/100.595

-AUG 2 4 2005 June 1, 1998

Bigus et al.

Technology Center 2100 2762 W. Starks

RO996-052LB

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

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Dept. 917, Bldg. 006-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al. Date: August 17, 2005

Group Art Unit: 2762 **IBM** Corporation

Examiner: W. Starks Intellectual Property Law Serial No.: 09/100,595

Filed: June 19, 1998 3605 Highway 52 North

Title: OPTIMIZING THE PERFORMANCE Rochester, MN 55901

OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF

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Debra A. Peterson

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Steven W. Roth

August 17, 2005

PTO/SB/08A Application Number.: 09/100,595 Filing Date: June 1, 1998 INFORMATION DISCLOSURE First Named Inventor: Bigus et al. STATEMENT BY APPLICANT Art Unit: 2762 Examiner Name: W. Starks Sheet _1_ of _1_ Attorney Docket Number .: RO996-052LB

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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| PTO/SB/08A | Application Number.: | 09/100,595 |
|------------------------|--------------------------|--------------|
| | Filing Date: | June 1, 1998 |
| INFORMATION DISCLOSURE | First Named Inventor: | Bigus et al. |
| STATEMENT BY APPLICANT | Art Unit: | 2762 |
| | Examiner Name: | W. Starks |
| Sheet _2_ of _2_ | Attorney Docket Number.: | RO996-052LB |

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| Examiner 5 | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published. | T² |
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THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Joseph P. Bigus et al.

Date: July 19, 2004

Group Art Unit:

2762

IBM Corporation

Examiner:

W. Starks

Intellectual Property Law

Serial No.:

09/100,595

Dept. 917, Bldg. 006-1

Filed:

June 19, 1998

3605 Highway 52 North

Title: OPTIMIZING THE PERFORMANCE

Rochester, MN 55901

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77/E2/E004 ZHENRY 00000018 090465 130.001

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Respectfully submitted,

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Steven W. Roth

July 19, 2004_

INFORMATION DIS STATEMENT BY APPLICAN

JUL 2 1 2004

Sheet 1 of 2

Application Number.:

Filing Date:

09/100,595 June 19, 1998

First Named Inventor:

Attorney Docket Number.:

Joseph P. Bigus

Art Unit:

2762

Examiner Name:

W. Starks RO996-052LB

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U.S. PATENT DOCUMENTS

Technology Center 2100

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Sheet 2 of 2

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Joseph P. Bigus

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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENT Schnology Center 2100

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|----------------------|--------------|---|----------------|
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RO996-052LB

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No.1 | Document Number Number - Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear |
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| Examiner Initials | Cite No.1 | Foreign Patent Document Country ³ - Number ⁴ - Kind Code ⁵ Code (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear | Τ ⁶ |
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| Examiner Signature Wilbert E. Starks, 51.7 Date Considered 05/25/2507 | Examiner Signature | /Wilbert L. Starks, Jr./ | Date Considered | 09/29/2007 |
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance <u>and</u> not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Joseph P. Bigus et al.

Date: January 23, 2004

Group Art Unit:

2762

IBM Corporation

Examiner:

W. Starks

Intellectual Property Law

Serial No.:

09/100,595

Dept. 917, Bldg. 006-1

Filed:

June 19, 1998

3605 Highway 52 North

Title: OPTIMIZING THE PERFORMANCE

Rochester, MN 55901

OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF

DOMAIN KNOWLEDGE

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING CONSIDERATION UNDER 37 C.F.R. §1.97(d)

Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

Sir:

FEB 0 2 2004

Technology Center 2100 .

Applicants request that the information listed on the attached Form PTOSB08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Docket No. RO996-052LB Serial No. 09/100.595

This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Date: January 23, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

January 23, 2004

(Date of Deposit)

Debra A. Peterson

Respectfully submitted,

By:

Steven W. Roth, Attorney

Attorney Reg. No.: 34,712

TBM Corporation, Dept 917

3605 Highway 52 North

Rochester, MN 55901-7829 Telephone: (507) 253-1600

CERTIFICATION

I hereby certify that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

\$teven W. Roth

January 23, 2004

INFORMATION DISCLOSURFACE STATEMENT BY APPLICANT

Sheet 1 of 2

Application Number.:

Filing Date:

First Named Inventor:

Art Unit:

Examiner Name:

Attorney Docket Number .:

09/100,595

June 19, 1998

Joseph P. Bigus

RO996-052LB

2762 W. Starks

IIS PATENT DOCUMENTO

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| Examiner Initials* | Cite No. ¹ | Document Number Number - Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear |
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FOREIGN PATENT DOCUMENTS

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| Examiner Signature | /Wilbert L. Starks, Jr./ | Date Considered | 09/29/2007 |

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or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

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INFORMATION DISCLOSU STATEMENT BY APPLICANT

Sheet 2 of 2

Application Number.:

Filing Date:

First Named Inventor:

Art Unit:

Examiner Name:

Attorney Docket Number .:

09/100,595

June 19, 1998

Joseph P. Bigus

2762 W. Starks

RO996-052LB

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| |] | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), | |
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| Examiner Initials | Cite No.1 | title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published. | T ² |
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al. : Date: January 23, 2004

Group Art Unit: 2762 : IBM Corporation

Examiner: W. Starks : Intellectual Property Law

Serial No.: 09/100,595 : Dept. 917, Bldg. 006-1

Filed: June 19, 1998 : 3605 Highway 52 North

Title: OPTIMIZING THE PERFORMANCE : Rochester, MN 55901

OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF

DOMAIN KNOWLEDGE

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING CONSIDERATION UNDER 37 C.F.R. §1.97(d)

Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

Sir:

Applicants request that the information listed on the attached Form PTOSB08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

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The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Date: January 23, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

January 23, 2004

(Date of Deposit)

Debra A. Peterson

Respectfully submitted,

By:

Steven W. Roth, Attorney

Attorney Reg. No.: 34,712 IBM Corporation, Dept 917

3605 Highway 52 North

Rochester, MN 55901-7829

Telephone: (507) 253-1600

CERTIFICATION

I hereby certify that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

Steven W. Roth

January 23, 2004

09/100.595 Application Number.: PTO/SB/08A June 19, 1998 Filing Date: INFORMATION DISCLOSURE First Named Inventor: Joseph P. Bigus Art Unit: 2762 STATEMENT BY APPLICANT Examiner Name: W. Starks

Sheet 1 of 2

Attorney Docket Number.: RO996-052LB

ILS PATENT DOCUMENTS

| U.S. PATENT DOCUMENTS | | | | | | | |
|-----------------------|----------|---|--------------------------------|---|--|--|--|
| Examiner Initials* | Cite . | <u>Document Number</u> Number - Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear | | |
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| Examiner Signature | /Wilbert L. Starks, Jr./ | Date Considered | 09/29/2007 |
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| PTO/SB/08A | Application Number.: | 09/100.595 |
|------------------------|--------------------------|-----------------|
| • | Filing Date: | June 19, 1998 |
| INFORMATION DISCLOSURE | First Named Inventor: | Joseph P. Bigus |
| STATEMENT BY APPLICANT | Art Unit: | 2762 |
| • | Examiner Name: | W. Starks |
| Sheet 2 of 2 | Attorney Docket Number.: | RO996-052LB |
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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials | Cite No.1 | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published. | T² |
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| Examiner Signature | /Wilbert L. Starks, Jr./ | Date Considered | 09/29/2007 |
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¹ Applicant's unique citation designation number (optional).

² Applicant is to place a check mark here if English language translation is attached.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Joseph P. Bigus et al.

Date: July 17, 2003

Group Art Unit:

2762

IBM Corporation

Examiner:

W. Starks

Intellectual Property Law

Serial No .:

09/100,595

Dept. 917, Bldg. 006-1

Filed:

June 19, 1998

3605 Highway 52 North

Title: OPTIMIZING THE PERFORMANCE

OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF

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Date: July 17, 2003

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> July 17, 2003 (Date of Deposit)

Debra A. Peterson

Respectfully submitted,

By:

Steven W. Roth, Attorney Attorney Reg. No.: 34,712 IBM Corporation, Dept 917 3605 Highway 52 North

Rochester, MN 55901-7829

Telephone: (507) 253-1600

CERTIFICATION

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Steven W. Roth

July 17, 2003

Date

| PTO/SB/08A | Application Number.: | 09/100.595 |
|------------------------|--------------------------|-----------------|
| | Filing Date: | June 19, 1998 |
| INFORMATION DISCLOSURE | First Named Inventor: | Joseph P. Bigus |
| STATEMENT BY APPLICANT | Art Unit: | 2762 |
| | Examiner Name: | W. Starks |
| Sheet _1_ of _1_ | Attorney Docket Number.: | RO996-052LB |
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| Examiner Signature | /Wilbert L. Starks, Jr./ | Date Considered | 09/29/2007 |
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OTPE 19 2003



In it application of: Joseph P. Bigus et al.

Serial No.:

09/100,595

Date:

February 12, 2003

Filed:

June 19, 1998

Group No.:

2762

For:

OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING INTELLIGENT

AGENT WITH MULTIPLE PROGRAM
MODULES HAVING VARIED DEGREES

OF DOMAIN KNOWLEDGE

Examiner: W. Starks

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FEB 2 4 2003

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING CONSIDERATION UNDER 37 C.F.R. §1.97(d)

To the Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

Applicants petition the Commissioner of Patent and Trademark that the information listed on the attached Form PTO/SB/08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement and Petition Requesting Consideration shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

02/24/2003 CHGUYEN 00000026 090465 09100595 01 FC:1460 130.00 CH

> Serial No. 09/100,595 Docket No. RO996-052LB

-1-

This Information Disclosure Statement and Petition Requesting Consideration is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

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Respectfully submitted,

Steven W. Roth

Actorney Reg. No. 34,712

IBM Corporation - Department 917

3605 Highway 52 North

Rochester, Minnesota 55901-7829

Telephone: 1-507-253-1600

CERTIFICATION

I hereby certify that each item of information contained herein was cited in a communication from the patent office in a related patent application not more than three months prior to the filing of this Statement.

February 12, 2003

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on February 12, 2003.

Debra A. Peterson

February 12.

Date

Serial No.

09/100,595

Docket No. RO996-052LB

| STATE | /ATIOMENT | ON DISCLOSURE BY APPLICANT - FEB 1 9 7003 | Application Number.: Filing Date: First Named Inventor: Art Unit: Examiner Name: Attorney Docket Number.: PATENT DOCUMENTS | | | | | 09/100.595 June 1, 1998 Bigus et al. 2762 W. Starks RO996-052LB | | |
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| Examiner Initials* | Cite No.1 | (if known) | | ation Date DD-YYYY | Appl Docu | e of Patentee icant of Cited iment man et al. | | Pages, Columns or Lines Where Relevant Passages or Figs. Appear | | |
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| Examiner Initials | Foreign Patent Document Cite Country ³ - Number ⁴ - Kin | | | Publication MM-DD-Y | Date | Name of Patentee or Applicant of Cited Docu | of | Pages, Columns or Lines Where Relevant Passages or Figs. Appear | T _e | |
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ³ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al.

Date:

May 8, 2002

Serial No.:

09/100,595

Group No.:

2762

Filed:

June 19, 1998

Examiner:

W. Starks

For:

OPTIMIZING THE PERFORMANCE OF

COMPUTER TASKS USING INTELLIGENT

AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES

OF DOMAIN KNOWLEDGE

RECEIVED

MAY 2 0 2002

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING CONSIDERATION UNDER 37 C.F.R. §1.97(d)

To the Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

Applicants petition the Commissioner of Patent and Trademark that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement and Petition Requesting Consideration shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

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09/100,595 Serial No. Docket No. RO996-052LB

05/17/2002 SSITHIB1 00000002 090465 01 FC:122

130.00 CH

This Information Disclosure Statement and Petition Requesting Consideration is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Respectfully submitted,

By

even W. Roth

Attorney Reg. No. 34,712

IBM Corporation - Department 917

3605 Highway 52 North

Rochester, Minnesota 55901-7829

Telephone: 1-507-253-1600

CERTIFICATION

I hereby certify that each item of information contained herein was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.

May 8, 200

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on May 8, 2002.

Debra A. Peterson

May 8, 2002

Date

Serial No.

09/100,595

Docket No. RO996-052LB

PTO/SB/08A

INFORMATION DISCLOSUBED STATEMENT BY APPLICANT

Sheet _1_ of _2_

Application Number.:

Filing Date:

First Named Inventor:

Art Unit:

Examiner Name:

Attorney Docket Number .:

09/100,595

June 19, 1998

Joseph P. Bigus et al.

2762

W. Starks

RO996-052LB

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No.1 | Document Number Number - Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear |
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| Examiner Initials | Cite No.1 | Foreign Patent Document Coentry ³ - Number ⁴ - Kind Code ⁵ Code (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear | T ⁶ |
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Examiner Signature /Wilbert L. Starks, Jr./ Date Considered 09/29/2007

Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

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PTO/SB/08A

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet _x of _2_

Application Number.:

Filing Date:

June 19, 1998

09/100,595

First Named Inventor:

Joseph P. Bigus et al.

Art Unit:

2762

Examiner Name:

W. Starks

Attorney Docket Number .:

RO996-052LB

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Examiner Signature

Date Considered

¹ Applicant's unique citation designation number (optional).

² Applicant is to place a speck mark here if English language translation is attached.





IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al.

Serial No.:

09/100,595

Date:

June 19, 2001

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OF DOMAIN KNOWLEDGE

W. Starks

JUN 2 6 2001 Technology Center 2100

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING CONSIDERATION UNDER 37 C.F.R. §1.97(d)

To the Assistant Commissioner for Patents Washington, D.C. 20231

· Sir:

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Serial No.

09/100,595

Docket No. RO996-052LB - 1 -

This Information Disclosure Statement and Petition Requesting Consideration is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Respectfully submitted,

Ву

Steven W. Roth

Attorney Reg. No. 34,712

IBM Corporation - Department 917

3605 Highway 52 North

Rochester, Minnesota 55901-7829

Telephone: 1-507-253-1600

CERTIFICATION

I hereby certify that each item of information contained herein was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement:

June 19, 2001

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on June T9, 2001.

Steven W. Roth

Date

Serial No.

09/100,595

Docket No. RO996-052LB

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| /WS/ | AR | | Vol. 95, No. 105 (95-Al-102), pp. 1-6, Faculty | | | | | | | Business Administration, Toyo | O University | , | | | |
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al.

Serial No.:

09/100,595

Date:

June 19, 2001

Filed:

June 19, 1998

Group No.:

2762

For: OPTIMIZING THE PERFORMANCE OF

Examiner:

W. Starks

COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES

OF DOMAIN KNOWLEDGE

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To the Assistant Commissioner for Patents Washington, D.C. 20231

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Serial No.

09/100,595

Docket No. RO996-052LB

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The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

| · | Respectfully submitted, |
|---|---|
| | By Steven W. Roth Attorney Reg. No. 34,712 IBM Corporation - Department 917 3605 Highway 52 North Rochester, Minnesota 55901-7829 Telephone: 1-507-253-1600 |
| | CERTIFICATION |
| I hereby certify that each item of infrom a foreign patent office in a counterpathe filing of this Statement. | information contained herein was cited in a communication art foreign application not more than three months prior to |
| Steven W. Roth | June 19, 2001 Date |
| CERTI | IFICATE OF MAILING |
| I hereby certify that this paper is bei | ing deposited with the United States Postal Service as first |

Serial No. 09/100,595 Docket No. RO996-052LB

Steven W. Roth

on June 19, 2001.

class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231

June 19, 2001

Date

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Joseph P. Bigus et al.

Serial No.:

09/100,595

Date:

February 14, 2000

Filed:

June 19, 1998

Group No.:

2762

For:

OPTIMIZING THE PERFORMANCE

Examiner:

W. Starks, Jr.

OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES

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Docket No.:

RO996-052LB

Serial No.:

09/100,595

- 1 -

The references listed herein were cited in a search report by a foreign patent office, a copy of which is attached hereto. If any references listed herein are in a language other than English, said foreign search report is submitted in satisfaction of the requirements of 37 C.F.R. 1.98(a)(3). Unless a translation accompanies this Statement, no written English-language translation of any non-English language document, or portion thereof, listed herein, is within the possession custody or control of, or is readily available to any individual designated in 37 C.F.R. 1.56(c).

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Зу 🛫

Steven W. Roth

Attorney Reg. No.: 34,712

IBM Corporation - Department 917

3605 Highway 52 North

Rochester, Minnesota 55901-7829

Telephone: 1-507-253-1600

CERTIFICATE OF MAILING

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Steven W. Roth

February 14, 2000

Date

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- 2 -

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Docket No.: RO996-052LB Serial No.: 09/100,595

| FORM PTO | | · | | • | | | | | | TTY. DOCKET NO. 0996-052LB | | SERIAL NO. 098/100,595 | | | |
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| FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS INFORMATION | | | | | | | | | | ATTY. DOCKET NO. SERIAL NO. 80996-052LB 09/100,595 | | | | | | |
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Joseph Phillip Bigus et al.

PATENT

Applicant:

Serial No.:

Filed:

For:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Ал Unit: 2762

Examiner: Wilbert L. Starks, Jr. Atty. Docket No.: IBM/04B

IBM/04B

#12/5

OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING

INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING

VARIED DEGREES OF DOMAIN KNOWLEDGE

FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents Washington, DC 20231

09/100,595

June 19, 1998

Sir:

In accordance with Applicants' duty of disclosure under the provisions of 37 C.F.R. § 1.56, the references listed on the enclosed Form PTO-1449 are brought to the attention of the Examiner. Copies of the references are also enclosed.

No representation is made that any of the references are "prior art" within the meaning of 35 U.S.C. § 102 or § 103. Moreover, any explanations herein are not to be taken as a representation that the references have been thoroughly reviewed. In particular, no representation as to the relative relevance of any portion of a reference is intended.

Consideration of the references and the remarks presented herein in the above-identified application is respectfully requested. A check for \$240.00 pursuant to 37 CFR 1.97(c) is also enclosed herewith.

If there are any questions regarding this paper, or which might otherwise further this case onto allowance, please contact the undersigned at (513) 241-2324. Moreover, if any other charges or credits are necessary to complete this communication, please apply them to Deposit Account 23-3000.

Respectfully submitted,

Date

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Scott A. Stinebruner Reg. No. 38,323.

WOOD, HERRON & EVANS, L.L.P.

2700 Carew Tower Cincinnati, Ohio 45202 (513)241-2324

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Page 1 of 1 Serial No. 09/100,595 IBM Docket RO996-052L WH&E IBM/04B 4th Supplemental Information Disclosure Statement



IBM/04B

PATENT

Applicant: Joseph Phillip Bigus et al.

Serial No.: 09/100,595

Filed:

For:

Joseph Phillip Bigus et al. Art Unit: 2762

09/100,595

Examiner: Wilbert L. Starks, Jr.

June 19, 1998

OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING

INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING

VARIED DEGREES OF DOMAIN KNOWLEDGE

TRANSMITTAL

Assistant Commissioner for Patents Washington, DC 20231

Sir:

We are transmitting herewith the attached:

Transmittal (in duplicate) containing Certificate of Mailing Under 37 CFR 1.8 Fourth Supplemental Information Disclosure Statement

Substitute Form PTO-1449 (1 page)

1 Other Art Reference

A Check for \$240.00 for 37 CFR 1.97(c) Fee

Reply Postcard

Please charge any additional fees or credit overpayment to Deposit Account No. 23-3000.

A duplicate of this sheet is enclosed.

WOOD, HERRON & EVANS, L.L.P.

2700 Carew Tower Cincinnati, Ohio 45202 (513) 241-2324

Stinebruner Reg. No. 38,323

CERTIFICATE OF MAILING 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on January 14, 2000.

Scott X. Stinebruner Reg. No. 38,323

Page I of I Serial No. 09/100.595 IBM Docket RO996-052L WH&E IBM/04B Transmittal for IDS

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use several sheets if necessary)

APPLICANT Joseph Phillip Bigus et al.

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Sheet _ 2_(B)__ of _ **U.S. DEPARTMENT OF COMMERCE** ATTY. DOCKET NO. SUBSTITUTE FORM PTO-1449 SERIAL NO. PATENT AND TRADEMARK OFFICE (MODIFIED) IBM/04B (R0996-052L) 09/100,595 **APPLICANT** INFORMATION DISCLOSURE STATEMENT BY APPLICANT Joseph Phillip Bigus et al. (Use several sheets if necessary) **FILING DATE GROUP** (37 CFR 1.98(b)) June 19, 1998 2762 **U.S. PATENT DOCUMENTS** ISSUE **FXAMINER FILING DATE** INITIAL **PATENT NUMBER** DATE **PATENTEE** CLASS **SUBCLASS** IF APPROPRIATE /WS/ 07/12/94 B.A Klein et al. 395 375 10/23/90 3 6 11/22/94 B.B Kawamoto et al. 364 419.20 06/25/93 /WS/ 6 11/22/94 B.C Bauer et al. 395 200 08/29/91 /WS/ /WS/ B.D 3 12/06/94 Johannes Klein 395 650 04/22/93 /WS/ 3 Q 2 3 02/21/95 Mary R. Otto 379 265 04/30/93 3 /WS/ B.F 9 8 Ð 2 03/14/95 340 825.03 Jeffrey H. Derby et al. 11/24/92 /WS/ 4 0 8 0 04/18/95 B.G Lewis V. Rothrock et al. 370 62 10/14/93 5 2 1 0 BH 1 05/30/95 Curtis A. Smith 395 650 /WS/ 07/08/93 2 3 0 4 3 B.I 06/06/95 Fitzpatrick et al. 395 700 01/21/94 /WS/ 5 5 4 2 /WS/ B.J 6 8 11/07/95 Clare et al. 379 34 05/24/94 /WS/ 9 5 5 B.K 6 6 2 11/21/95 Christian D. Saether 395 182.18 06/26/92 FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS DOCUMENT **PUBLICATION** COUNTRY OR TRANSLATION NUMBER PATENT OFFICE DATE **CLASS SUBCLASS** (YES/NO) B.L EP0519109A1 /WS/ 12/23/92 European Yes /WS/ B.M EP0589249A2 03/30/94 European Yes B.N EP0598534A1 05/25/94 /WS/ European YAS /WS/ B.O EP0611210A1 08/17/94 European Yes /WS/ B.P JP3195141 1991 Japan Yes /WS/ B.Q JP4157944 1992 Japan Yes OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) A.D. Kwok et al., "A Development System for Intelligent Agent Manufacturing Software", Integrated Manufacturing B.R /WS/ Systems, 1994, Vol. 5 No. 4/5, pp.64-76. B.S Barbara Hayes-Roth, "An architecture for adaptive intelligent systems", Artificial Intelligence, January 1995, Volume /WS/ 72, Numbers 1-2, pp. 329-365. /WS/ B.T Siegfried R. Bocionek, "Agent systems that negotiate and learn", International Journal of Human-Computer Studies,

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Sheet _3 (C)_ of __11 U.S. DEPARTMENT OF COMMERCE ATTY. DOCKET NO. SERIAL NO. SUBSTITUTE FORM PTO-1449 09/100,595 PATENT AND TRADEMARK OFFICE IBM/04B (R0996-052L) (MODIFIED) **APPLICANT** INFORMATION DISCLOSURE STATEMENT BY APPLICANT Joseph Phillip Bigus et al. **GROUP** (Use several sheets if necessary) **FILING DATE** June 19, 1998 2762 (37 CFR 1.98(b)) U.S. PATENT DOCUMENTS ISSUE **FILING DATE EXAMINER** SUBCLASS IF APPROPRIATE CLASS INITIAL PATENT NUMBER DATE PATENTEE 8 01/02/96 395 700 12/15/93 /WS/ Hamilton et al. 5 8 6 9 01/02/96 Christian D. Saether 395 182.13 03/23/95 /WS/ C.B 5 6 0 3 0 3 02/11/97 395 683 07/08/93 /WS/ C.C White et al. C.D C.E C.F C.G C.H C.I C.J C.K FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS **TRANSLATION** DOCUMENT **PUBLICATION COUNTRY OR SUBCLASS** (YES/NO) NUMBER DATE PATENT OFFICE CLASS C.L 1992 No MS/ JP4256101 Japan 1993 No /WS/ C.M JP5324009 Japan /WS/ C.N JP6175944 1994 Japan Yes C.O C.P c.a OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) /WS/ C.R Darrell Woelk et al., "Uncovering the next generation of active objects", QBJECT magazine, July/August 1995, pp. 32-40. /WS/ C.S Jan Ozer, "Totally Streaming Multimedia", CD-ROM Professional, August 1996, Volume 9 No. 8, pp. 54-66. C.T Barbara Hayes-Roth et al., "A Domain-Specific Software Architecture for Adaptive Intelligent Systems", IEEE /WS/ Transactions on Software Engineering, April 1995, Vol. 21, No. 4, pp. 288-301.

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SERIAL NO. U.S. DEPARTMENT OF COMMERCE ATTY. DOCKET NO. **SUBSTITUTE FORM PTO-1449** PATENT AND TRADEMARK OFFICE 09/100.595 IBM/04B (RO996-052L) (MODIFIED) **APPLICANT** INFORMATION DISCLOSURE STATEMENT BY APPLICANT Joseph Phillip Bigus et al. **FILING DATE GROUP** (Use several sheets if necessary) 2762 June 19, 1998 (37 CFR 1.98(b)) **U.S. PATENT DOCUMENTS** FILING DATE ISSUE **EXAMINER** IF APPROPRIATE **CLASS SUBCLASS** PATENT NUMBER DATE PATENTEE INITIAL E.A E.B E.C E.D E.E E.F E.G E.H E.I E.J E.K FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS TRANSLATION **PUBLICATION COUNTRY OR** DOCUMENT **SUBCLASS** (YES/NO) CLASS PATENT OFFICE NUMBER DATE E.L E.M E.N E.O E.P E.Q OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) Peter Gibbons et al., "Intelligent Agents in Multi-Media Systems", Sharp Technical Journal, December 1994, Volume E.R /WS/ 60, pp. 11-14. Cristano Castelfranchi, "Guarantees for Autonomy in Cognitive Agent Architecture", Proceedings of ECAL-94 E.S /WS/ Workshop on Agent Theories, Architectures, and Languages, Amsterdam, The Netherlands, August 8-9, 1994, pp. 56-70. Devindra Weerasooriya et al., *Design of a Concurrent Agent-Oriented Language*, Proceedings of FCAI-94 Workshop /WS/ on Agent Theories, Architectures, and Languages, Amsterdam, The Netherlands, August 8-9, 1994, pp. 386-401. **EXAMINER** /Wilbert L. Starks, Jr./ DATE CONSIDERED 09/29/2007 EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

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Sheet 9 (I) of 11 SERIAL NO. U.S. DEPARTMENT OF COMMERCE ATTY. DOCKET NO. SUBSTITUTE FORM PTO-1449 09/100.595 IBM/04B (RO996-052L) PATENT AND TRADEMARK OFFICE (MODIFIED) **APPLICANT** INFORMATION DISCLOSURE STATEMENT BY APPLICANT Joseph Phillip Bigus et al. **GROUP FILING DATE** (Use several sheets if necessary) June 19, 1998 2762 (37 CFR 1.98(b)) **U.S. PATENT DOCUMENTS** FILING DATE ISSUE **EXAMINER PATENTEE** CLASS SUBCLASS IF APPROPRIATE PATENT NUMBER DATE INITIAL I.A I.B 1.C I.D I.E I.F 1.G 1.H 1.1 I.J I.K FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS TRANSLATION DOCUMENT **PUBLICATION COUNTRY OR** SUBCLASS (YES/NO) CLASS PATENT OFFICE NUMBER DATE I.L I.M 1.N 1.0 I.P I.Q OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) Paul Kearney et al., "Emergent Behaviour in a Multi-Agent Economic Situation", Proceedings of the 11th European I.R /WS/ Conference on Artificial Intelligence, Amsterdam, The Netherlands, August 8-12, 1994, pp. 284-288. Wayne Wobcke, "Reasoning about Action from the Perspective of Situation Semantics, Proceedings of the 6th 1.5 Australian Joint Conference on Artificial Intelligence, Melbourne, Australia, November 16-19, 1993, pp. 71-76. /WS/ Gunilla A. Sundstrom et al., "Cooperative Human-Computer Decision Making: An Experiment and Some Design I.T /WS/ Implications", Proceedings of the Human Factors and Ergonomics Society 38th Annual Meeting, Nashville, Tennessee, October 24-28, 1994, pp. 220-224. **EXAMINER** DATE CONSIDERED 09/29/2007 /Wilbert L. Starks, Jr./

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Sheet __11_(K)__ of __11_ SERIAL NO. U.S. DEPARTMENT OF COMMERCE ATTY. DOCKET NO. **SUBSTITUTE FORM PTO-1449** PATENT AND TRADEMARK OFFICE IBM/04B (RO996-052L) 09/100,595 (MODIFIED) INFORMATION DISCLOSURE **APPLICANT** STATEMENT BY APPLICANT Joseph Phillip Bigus et al. **GROUP** (Use several sheets if necessary) FILING DATE (37 CFR 1.98(b)) June 19, 1998 2762 **U.S. PATENT DOCUMENTS EXAMINER** ISSUE FILING DATE SUBCLASS PATENT NUMBER DATE **PATENTEE** CLASS IF APPROPRIATE INITIAL K.A K.B K.C K.D K.E K.F K.G K.H K.I K.J FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS **DOCUMENT PUBLICATION** TRANSLATION **COUNTRY OR NUMBER** DATE PATENT OFFICE CLASS **SUBCLASS** (YES/NO) K.L K.M K.N K.O K.P K.Q OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) /WS/ K.R Joseph P. Bigus, Data Mining with Neural Networks, McGraw-Hill Publishing Company, 1996. K.S David M. Chess, "Security Considerations in Agent-Based Systems", For the 1st Annual Conference on Emerging /WS/ Technologies and Applications in Communications, Portland, Oregon, May 7-10, 1996. K.T

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EXAMINER

/Wilbert L. Starks, Jr./

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Joseph Phillip Bigus et al.

Art Unit: 2762

Serial No.: 09/100,595 Filed:

June 19, 1998

Examiner: Wilbert L. Starks, Jr.

For:

Atty. Docket No.: IBM/04B OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING

INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING

VARIED DEGREES OF DOMAIN KNOWLEDGE

TRANSMITTAL

Assistant Commissioner for Patents Washington, DC 20231

Sir:

We are transmitting herewith the attached:

Transmittal (in duplicate) containing Certificate of Mailing Under 37 CFR 1.8

Third Supplemental Information Disclosure Statement

Substitute Form PTO-1449 (1 page)

1 Other Art Reference

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(513) 241-2324

Scott A. Stinebruner Reg. No. 38,323

CERTIFICATE OF MAILING 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on November 17, 1999.

Scott A. Stinebruner

Page 1 of 1 Serial No. 09/100,595 IBM Docket RO996-052L WH&E IBM/04B Transmittal for IDS

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Group 2700 TED STATES PATENT AND TRADEMARK OFFICE

Applicants: Joseph Phillip Bigus et al.

Art Unit: 2762

Serial No.: 09/100,595

Examiner: Unknown

Filed:

Atty. Docket No.: IBM/04B

For:

June 19, 1998 OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING

INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF DOMAIN KNOWLEDGE (AS

AMENDED)

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents Washington, DC 20231

Sir:

In accordance with Applicants' duty of disclosure under the provisions of 37 C.F.R. § 1.56, the references listed on the enclosed Form PTO-1449 are brought to the attention of the Examiner. Copies of the references are also enclosed.

No representation is made that any of the references are "prior art" within the meaning of 35 U.S.C. § 102 or § 103. Moreover, any explanations herein are not to be taken as a representation that the references have been thoroughly reviewed. In particular, no representation as to the relative relevance of any portion of a reference is intended.

Consideration of the references and the remarks presented herein in the aboveidentified application is respectfully requested.

If there are any questions regarding this paper, or which might otherwise further this case onto allowance, please contact the undersigned at (513)241-2324. Moreover, if any other charges or credits are necessary to complete this communication, please apply them to Deposit Account 23-3000.

24 MAR 1999

Date

Respectfully submitted,

Scott A. Stinebruner

Reg. No. 38,323

WOOD, HERRON & EVANS, L.L.P.

2700 Carew Tower

Cincinnati, Ohio 45202

(513)241-2324

10 Sheet __1 (A)__ of __ SERIAL NO. **SUBSTITUTE FORM PTO-1449** U.S. DEPARTMENT OF COMMERCE ATTY. DOCKET NO. PATENT AND TRADEMARK OFFICE IBM/04B (RO996-052L) 09/100,595 (MODIFIED)

(Use several sheets if necessary)

SUPPLEMENTAL INFORMATION DISCLE **APPLICANT** STATEMENT BY APPLICANT

Joseph Phillip Bigus et al.

RECEIVED

FILING DATE

June 19, 1998

GROUP 2762

APR 1 2 1999

(37 CFR 1.98(b))

Group 2700 JMENTS FILING DATE ISSUE **EXAMINER** IF APPROPRIATE DATE **PATENTEE CLASS SUBCLASS** INITIAL **PATENT NUMBER** /WS/ 09/25/87 21 8 8 2 6 11/14/89 Herbison et al. 380 10/25/93 51 /WS/ A.B 5 3 5 5 4 10/11/94 Chirico 395 5 0 11/07/95 Hutcheson et al. 382 159 08/25/93 4 6 3 8 A.C /WS/ 380 25 05/22/95 A.D 5 6 6 9 9 8 07/08/97 Stambler /WS/ 04/27/95 6 8 9 11/18/97 Lupien et al. 395 237 A.E /WS/ 09/22/95 A.F 5 6 9 6 8 2 8 12/09/97 Koopman, Jr. 380 46 WS/ 02/03/98 380 3 04/01/96 5 5 2 A.G 7 1 3 1 litsma /WS/ 705 37 10/13/94 5 7 1 7 9 8 02/10/98 Tozzoli et al. /WS/ A.H 6 06/09/98 Gladden 395 11 05/07/96 /WS/ A.I /WS/ 200.32 08/02/96 A.J 5 7 9 0 7 8 9 08/04/98 Suarez 395 A.K FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS **TRANSLATION DOCUMENT PUBLICATION COUNTRY OR** PATENT OFFICE **SUBCLASS** (YES/NO) NUMBER DATE CLASS A.L A.M A.O A.P A.Q OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) Tuomas Sandholm et al. "Issues in Automated Negotiation and Electronic Commerce: Extending the Contract Net A.R /WS/ Framework*, First International Conference on Multi-Agent Systems, (June 1995), pp. 328-335. Database 636 (IAC Newsletter) on Dialog, No. 3263922, "General Magic attempts to pull Glory from Web Hat",

EXAMINER

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/Wilbert L. Starks, Jr./

Network Briefing, (July 19, 1996), 2 pages.

DATE CONSIDERED

Database 148 (IAC Trade & Industry Database), No. 4056305, Katy Ring, "Neural Networks, knowledge systems,

genetic algorithms at Cambridge Consultants", Computergram International, (July 17, 1989), 3 pages.

09/29/2007

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

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Gregory E. Kersten et al., "Negotiation in Distributed Artificial Intelligence: Drawing from Human Experience", <u>Proceedings of the Twenty-Seventh Annual Hawaii International Conference on System Sciences</u>, (1994), pp. 258-

Jim R. Oliver, "On Artificial Agents for Negotiation in Electronic Commerce", Proceedings of the 29th Annual Hawaii

MS/ B.T., Edward A. Billard, "Effects of Group Size on Goal-Directed Agents in Distributed Environments", IEEE Publication No. 0-7803-2559-1/95, (1995), pp. 3403-3408.

EXAMINER

Milbert L. Starks, Jr./

DATE CONSIDERED

09/29/2007

International Conference on System Sciences, (1996), pp. 337-346.

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

PATENT IBM/04B

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Joseph Phillip Bigus et al.

Art Unit: 2762

Serial No.: 09/100,595

Examiner: Unknown

Filed:

June 19, 1998

Atty. Docket No.: IBM/04B

For:

OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF DOMAIN KNOWLEDGE (AS

AMENDED)

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents Washington, DC 20231

Sir:

In accordance with Applicants' duty of disclosure under the provisions of 37 C.F.R. § 1.56, the references listed on the enclosed Form PTO-1449 are brought to the attention of the Examiner. Copies of the references are also enclosed.

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If there are any questions regarding this paper, or which might otherwise further this case onto allowance, please contact the undersigned at (513)241-2324. Moreover, if

Sheet 1 (A) of U.S. DEPARTMENT OF COMMERCE SUBSTITUTE FORM PTO-1449 ATTY. DOCKET NO. SERIAL NO. PATENT AND TRADEMARK OFFICE 09/100.595 IBM/04B (RO996-052L) (MODIFIED) SUPPLEMENTAL INFORMATION DISCLOSURE APPLICANT ' STATEMENT BY APPLICANT Joseph Phillip Bigus et al. GROUP (Use several sheets if necessary) **FILING DATE** June 19, 1998 2762 (37 CFR 1.98(b)) **U.S. PATENT DOCUMENTS** FILING DATE ISSUE **EXAMINER** INITIAL PATENT NUMBER DATE **PATENTEE CLASS** SUBCLASS IF APPROPRIATE /WS/ 11/14/89 Herbison et al. 380 21 09/25/87 8 395 51 10/25/93 10/11/94 Chirico /WS/ 08/25/93 11/07/95 382 159 /WS/ A.C 6 5 3 0 8 Hutcheson et al. /WS/ 07/08/97 Stambler 380 25 05/22/95 6 A.D 395 237 04/27/95 5 8 2 11/18/97 Lupien et al. A.E 6 WS/ 6 9 8 2 12/09/97 380 46 09/22/95 A.F 6 Koopman, Jr. /WS/ 3 04/01/96 380 02/03/98 A.G ljtsma /WS/ 02/10/98 Tozzoli et al. 705 10/13/94 7 R /WS/ A.H 7 06/09/98 395 11 05/07/96 A.I 5 6 5 0 2 8 Gladden /WS/ /WS/ 08/02/96 395 200.32 9 0 8 08/04/98 Suarez A.J A.K FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS TRANSLATION **DOCUMENT PUBLICATION COUNTRY OR** DATE PATENT OFFICE CLASS **SUBCLASS** (YES/NO) NUMBER A.L A.M A.N A.O A.P

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) A.R Tuomas Sandholm et al. "Issues in Automated Negotiation and Electronic Commerce: Extending the Contract Net Framework", First International Conference on Multi-Agent Systems, (June 1995), pp. 328-335. MS/ A.S Database 636 (IAC Newsletter) on Dialog, No. 3263922, "General Magic attempts to pull Glory from Web Hat", Network Briefing, (July 19, 1996), 2 pages. A.T Database 148 (IAC Trade & Industry Database), No. 4056305, Katy Ring, "Neural Networks, knowledge systems, genetic algorithms at Cambridge Consultants", Computergram International, (July 17, 1989), 3 pages.

EXAMINER

/Wilbert L. Starks, Jr./

DATE CONSIDERED

09/29/2007

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

U.S. DEPARTMENT OF COMMERCE SUBSTITUTE FORM PTO-1449 ATTY. DOCKET NO. SERIAL NO. PATENT AND TRADEMARK OFFICE IBM/04B (RO996-052L) 09/100,595 (MODIFIED) SUPPLEMENTAL INFORMATION DISCLOSURE **APPLICANT** STATEMENT BY APPLICANT Joseph Phillip Bigus et al. **GROUP** (Use several sheets if necessary) **FILING DATE** (37 CFR 1.98(b)) June 19, 1998 2762 **U.S. PATENT DOCUMENTS EXAMINER** ISSUE FILING DATE INITIAL PATENT NUMBER DATE **PATENTEE CLASS SUBCLASS** IF APPROPRIATE B.A B.B B.C B.D B.E B.F B.G B.H B.I B.J B.K FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS DOCUMENT **PUBLICATION** TRANSLATION **COUNTRY OR** NUMBER DATE **SUBCLASS** PATENT OFFICE CLASS (YES/NO) B.L B.M B.N B.O B.P B.Q OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) B.R Gregory E. Kersten et al., "Negotiation in Distributed Artificial Intelligence: Drawing from Human Experience", Proceedings of the Twenty-Seventh Annual Hawaii International Conference on System Sciences, (1994), pp. 258-/WS/ 270. B.S Jim R. Oliver, "On Artificial Agents for Negotiation in Electronic Commerce", Proceedings of the 29th Annual Hawaii WS/ International Conference on System Sciences, (1996), pp. 337-346. **8.T** Edward A. Billard, "Effects of Group Size on Goal-Directed Agents in Distributed Environments", IEEE Publication No. /WS/ 0-7803-2559-1/95, (1995), pp. 3403-3408. **EXAMINER** DATE CONSIDERED /Wilbert L. Starks, Jr./ 09/29/2007 EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not

considered. Include a copy of this form with next communication to applicant.

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al.

Date: December 14, 1998

Group Art Unit:

2762

IBM Corporation

Examiner:

Unassigned

Intellectual Property Law

Serial No .:

09/100,595

Dept. 917, Bldg. 006-1

Filed:

June 19, 1998

3605 Highway 52 North

Title: PROGRAM PRODUCT FOR

Rochester, MN 55901

OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF

DOMAIN KNOWLEDGE

Assistant Commissioner for Patents Washington, D.C. 20231

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on

December 14, 1998

(Date of Deposit)

Steven W. Roth

INFORMATION DISCLOSURE STATEMENT

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. 1.97. In accordance with 37 C.F.R. 1.97(b), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. 1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. 1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. 1.56(a), last amended on

Serial No. 09/100,595 Docket No. RO996-052LB November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

The references listed herein were cited in a search report by a foreign patent office, a copy of which is attached hereto. If any references listed herein are in a language other than English, said foreign search report is submitted in satisfaction of the requirements of 37 C.F.R. 1.98(a)(3). Unless a translation accompanies this Statement, no written English-language translation of any non-English language document, or portion thereof, listed herein, is within the possession custody or control of, or is readily available to any individual designated in 37 C.F.R. 1.56(c).

This Information Disclosure Statement is being filed under 37 C.F.R. 1.97(c) before a final action or notice of allowance. No filing fee is required because each item of information contained herein was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement (certification provided below).

Respectfully submitted,

Steven W. Roth

Attorney Reg. No. 34,712

Telephone: (507) 253-1600

Fax: (507) 253-2382

CERTIFICATION

I hereby certify that each item of information contained herein was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.

Steven W. Roth

December 14, 1998

Date

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Joseph Phillip Bigus et al.

Art Unit: 2762

Serial No.: 09/100,595

Examiner: Unknown

Filed:

June 19, 1998

Atty. Docket No.: IBM/04B

For:

PROGRAM PRODUCT FOR OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF DOMAIN

KNOWLEDGE

TRANSMITTAL

Assistant Commissioner for Patents Washington, DC 20231

Sir:

We are transmitting herewith the attached:

Transmittal (in duplicate) containing Certificate of Mailing Under 37 CFR 1.8

Information Disclosure Statement

Form PTO-1449 (11 pages)

Reply Post Card

Please charge any additional fees or credit overpayment to Deposit Account No. 23-3000.

A duplicate of this sheet is enclosed.

WOOD, HERRON & EVANS, L.L.P.

2700 Carew Tower Cincinnati, Ohio 45202

(513) 241-2324

Scott A Stinehniner Reg No 38 323

CERTIFICATE OF MAILING 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>August 28, 1998</u>.

Scatt A. Stinebruner Reg. No. 38,323

Page 1 of 1 Serial No. 09/100,595 IBM Docket RO996-052L WH&E IBM/04B Transmittal for IDS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Joseph Phillip Bigus et al.

Art Unit: 2762

Serial No.: 09/100,595

Examiner: Unknown

Filed:

June 19, 1998

Atty. Docket No.: IBM/04B

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KNOWLEDGE

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents Washington, DC 20231

Sir:

In accordance with Applicants' duty of disclosure under the provisions of 37 C.F.R. § 1.56, the references listed on the enclosed Form PTO-1449 are brought to the attention of the Examiner.

It is also brought to the attention of the Examiner the following co-pending U.S. Patent Applications, all filed in the name of Joseph Phillip Bigus et al.:

| <u>Serial No.</u> | Filing Date | Title | Docket No. |
|-------------------|----------------|---|------------|
| 08/821,935 | March 21, 1997 | INTELLIGENT AGENT WITH NEGOTIATION CAPABILITY AND METHOD OF NEGOTIATION THEREWITH | IBM/02 |
| 08/822,119 | March 21, 1997 | APPARATUS AND METHOD FOR COMMUNICATING BETWEEN AN INTELLIGENT AGENT AND CLIENT COMPUTER PROCESS USING DISGUISED MESSAGES | IBM/03 |
| 08,826,107 | March 21, 1997 | APPARATUS AND METHOD FOR OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING MULTIPLE INTELLIGENT AGENTS HAVING VARIED DEGREES OF DOMAIN KNOWLEDGE | IBM/01 |

Each of the references was cited in the parent for the above-identified application, U.S. Serial No. 08/822,993, filed on March 21, 1997 by Joseph Phillip Bigus et al. and entitled "APPARATUS AND METHOD FOR OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF DOMAIN KNOWLEDGE". Accordingly, no copies of the references are provided.

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28 AUG-1998

Date

Respectfully submitted,

Scott A. Stinebruner

Reg. No. 38,323

WOOD, HERRON & EVANS, L.L.P.

2700 Carew Tower

Cincinnati, Ohio 45202

(513)241-2324

U.S. DEPARTMENT OF COMMERCE SERIAL NO. SUBSTITUTE FORM PTO-1449 ATTY, DOCKET NO. (MODIFIED) PATENT AND TRADEMARK OFFICE IBM/04B (RO996-052L) 09/100,595 INFORMATION DISCLOSURE APPLICANT STATEMENT BY APPLICANT Joseph Phillip Bigus et al. (Use several sheets if necessary) **GROUP** FILING DATE (37 CFR 1.98(b)) June 19, 1998 2762 **U.S. PATENT DOCUMENTS EXAMINER** ISSUE FILING DATE INITIAL PATENT NUMBER DATE **PATENTEE CLASS SUBCLASS** IF APPROPRIATE /WS/ 04/03/90 A.A Packard et al. 364 200 05/23/88 5 0 3 0 8 12/17/91 A.B Peter J. Danielsen 370 /WS/ 58.2 12/30/88 A.C 05/26/92 395 700 /WS/ Stearns et al. 05/23/88 /WS/ A.D 10/13/92 Bigus et al. 379 113 12/11/90 /WS/ 2 2 A.E 07/06/93 Westaway et al. 395 800 08/20/90 ·/WS/ 5 2 3 5 6 2 08/10/93 A.F Wobber et al. 380 25 07/21/92 2 2 A.G 6 08/31/93 Ronald G. Smart /WS/ 395 51 06/26/91 2 6 6 8 /WS/ A.H 01/04/94 James L. Bander -395 10 03/20/91 3 0 1 3 2 0 04/05/94 A.I McAtee et al. /WS/ 395 650 06/28/91 3 6 8 A.J 8 05/31/94 Ralph T. Watson et al. 395 02/26/93 /WS/ 161 /WS/ 13 2 5 2 06/28/94 Johannes Klein 395 650 04/22/93 FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS **DOCUMENT PUBLICATION COUNTRY OR TRANSLATION** NUMBER DATE PATENT OFFICE CLASS **SUBCLASS** (YES/NO) A.L WO9321586 10/28/93 A.M WO9500907 01/05/95 A.N W09502217 01/19/95 A.O W09511560 04/27/95 A.P W09515635 06/08/95 /WS/ A.Q 2061117 02/12/92 Application for Canadian **Patent** OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) /WS/ Gilbert et al., "IBM Intelligent Agents", http://www.networking.ibm.com/iag/iagwp1.htm1, (1996). A.R /WS/ A.S "Commercial Expert System Shells", http://www.ioe.ac.uk/hgm/expert3.html, (1997). /WS/ A.T "Commercial Software Packages for Neural Network Simulation", ftp://ftp.sas.com/pub/neural/FAQ6.html, (1997). **EXAMINER DATE CONSIDERED** /Wilbert L. Starks, Jr./ 09/29/2007 EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

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Sheet _6 (F)_ of __11 U.S. DEPARTMENT OF COMMERCE ATTY, DOCKET NO. SERIAL NO. SUBSTITUTE FORM PTO-1449 PATENT AND TRADEMARK OFFICE IBM/048 (RO996-052L) 09/100,595 (MODIFIED) INFORMATION DISCLOSURE APPLICANT STATEMENT BY APPLICANT Joseph Phillip Bigus et al. FILING DATE **GROUP** (Use several sheets if necessary) June 19, 1998 2762 (37 CFR 1.98(b)) **U.S. PATENT DOCUMENTS** FILING DATE ISSUE **EXAMINER** INITIAL PATENT NUMBER DATE PATENTEE CLASS **SUBCLASS** IF APPROPRIATE F.A F.B F.C F.D F.E F.F F.G F.H Ė.I F.J F.K FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS DOCUMENT **PUBLICATION** COUNTRY OR TRANSLATION NUMBER PATENT OFFICE SUBCLASS (YES/NO) DATE CLASS F.L F.M F.N F.O F.P F.Q OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) F.R Agostino Poggi, *DAISY: an Object-Oriented System for Distributed Artificial Intelligence*, Proceedings of ECAI-94 Workshop on Agent Theories, Architectures, and Languages, Amsterdam, The Netherlands, August 8-9, 1994, pp. /WS/ 341-354. F.S David Kinny et al., "Planned Team Activity", 4th European Workshop on Modelling Autonomous Agents in a Multi-/WS/ Agent World, MAAMAW '92, S. Martino al Cimino, Italy, July 29-31, 1992, pp. 227-256. F.T /WS/ Stephen Marsh, "Trust in Distributed Artificial Intelligence", 4th European Workshop on Modelling Autonomous Agents in a Multi-Agent World, MAAMAW '92, S. Martino al Cimino, Italy, July 29-31, 1992, pp. 94-112.

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